



# OFFICE OF SECRETARY OF STATE

*Matt Blunt*

## When A Broker Calls, Take Notes

(If you don't know the broker, feel free to hang up!)

Date \_\_\_\_\_

Time \_\_\_\_\_

☐ Call Made

☐ Call received

Name of Broker \_\_\_\_\_

Phone \_\_\_\_\_

Broker's Firm \_\_\_\_\_

Phone \_\_\_\_\_

Broker's Central Registration Depository "CRD" No. \_\_\_\_\_

☐ Obtained CRD Report\*

Name of security: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Call the Missouri Securities Division (800) 721-7996 to obtain a CRD report. This report discloses any disciplinary incidents for your salesperson.

Reasons for recommendation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I asked to receive written information about the investment before making a decision.

☐ Yes

☐ No

How does this meet my investment objectives? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I will get:

☐ a prospectus

☐ an offering memorandum

☐ most recent Annual Report

☐ recent news releases

☐ research reports

☐ other information

What are the risks? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### Proposed Trade

Number of shares/units \_\_\_\_\_

Price Per Share \$ \_\_\_\_\_

Commission \$ \_\_\_\_\_

### My instructions

☐ Do nothing

☐ Buy

☐ Sell

Number \_\_\_\_\_

Price \$ \_\_\_\_\_

If you suspect wrong doing, please contact the

**MISSOURI SECRETARY OF STATE'S SECURITIES DIVISION at (800) 721-7996.**

## 2

☐ Sell

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☐ Yes

☐ No

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- ☐ a prospectus
- ☐ an offering memorandum
- ☐ most recent Annual Report
- ☐ recent news releases
- ☐ research reports
- ☐ other information

Number of shares/units \_\_\_\_\_  
 Price Per Share \$ \_\_\_\_\_  
 Commission \$ \_\_\_\_\_

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☐ Do nothing      ☐ Buy      ☐ Sell

Price \$

Time: